

**State of Arizona
Government Information Technology Agency**

**Information Technology Planning Guidelines
for
Agency FY 2005
Information Technology Plans**

Purpose

Because the purpose of information technology (IT) is to help the agency fulfill its mission, the purpose of the IT plan is to provide a process that will determine how IT can best achieve that purpose. To that end, the IT plan should:

- Ensure the agency's IT direction supports its business direction,
- Improve communication between the agency's IT and business units, as well as
- Communicate to the agency's constituents, employees, and stakeholders how IT will add value to their products and services.

Additionally, the IT plan should also support the statewide IT direction by:

- Supporting the statewide IT strategic plan,
- Planning to leverage shared statewide IT resources, and
- Ensuring IT implementations make use of the Enterprise Architecture target technologies.

Planning Methodology

Please refer to the Governor's Office for Strategic Planning and Budgeting's (OSPB's) published document *Managing for Results: 1998 Strategic Planning and Performance Measurement Handbook* for detailed information on the creation of a strategic plan. A copy of this publication can be downloaded from www.state.az.us/ospb. The agency annual IT plan should be developed following OSPB's planning process with the focus being placed on Information Technology (IT). This linkage ensures that the business strategic planning process and the IT strategic planning process are easily integrated, the IT plan can easily show linkage to the business plan, and that agencies do not have to learn a separate planning process.

Plan Submission Requirements

In A.R.S. 41-3504, The Government Information Technology Agency (GITA) is responsible for "Evaluating and either approving or disapproving budget unit information technology plans...that includes quality assurance plans". To this end, GITA developed a web based application called Planning Application for Reporting Information Technology Strategy (PARIS) for agency use in preparing the agency IT plan. **All components of the IT plan will need to be entered into PARIS for submission to GITA by September 1, 2004.**

Because the State must be a leader in securing public information, GITA also requires that an IT Security Assessment be completed along with the IT plan. **Complete the Technology Security Assessment (TeSA) as part of the IT plan submittal process by September 1, 2004.**

Plan Elements

Trends

Identify technology trends, agency strengths, opportunities, and successes, which may positively influence IT function's ability to support the business of the agency. This may include new and innovative solutions that address the challenges and opportunities in the current environment. This information can be collected during a SWOT analysis. (See page 13-19 in the publication *Managing for Results: 1998 Strategic Planning and Performance Measurement Handbook*.)

Issues

IT issues are those things that negatively influence the agency's IT function to support the business of the agency. These issues should reflect significant obstacle, problems, weakness or threats within your current infrastructure or environment. This information can be collected during a SWOT analysis. (See page 13-19 in the publication *Managing for Results: 1998 Strategic Planning and Performance Measurement Handbook*.)

Mission Statement

This statement is primarily focused on the agency level IT mission. The mission statement should provide a brief, comprehensive statement of the purpose for IT in the agency.

Vision

The vision should provide a compelling, conceptual image of the future for IT in the agency. It should not be prediction or projection, but a description of what the future will be if guided by the organization. The vision should be stated in business terms, not technical terms.

Agency Goals

Agency goals were developed as part of the Master List/Strategic Plan process. Please provide your **AGENCY** (not Program/subprogram) business goals. You will be asked if your IT goals support any of your agency goals.

IT Goals

IT goals are statements about the desired end result of using IT in targeted areas in the next two to three years. The IT goals should support agency business goals and they should also follow the overall IT direction for the State (Statewide IT Strategic Plan). Most importantly, the goals should describe the impact IT is to have on customers and/or stakeholders.

NOTE: The following examples used in IT Goals, Objectives, and Performance Measures are purely fictitious and do not reflect true agency IT Goals, Objectives or Performance Measures. They were made up solely for training purposes only.

Examples of IT Goals:

- Use information technology to help commuters drive safely to and from work.
- Provide citizens with on-line information to make better selections for health care providers.
- Improve the State's procurement process by integrating systems so that vendors get paid on time.

Objectives

Objectives are short term, specific and measurable achievements necessary for accomplishing IT goals. Additionally, objectives should measure how IT is impacting customers and/or stakeholders.

Examples of IT Objectives:

- By implementing the freeway management system, the urban freeway death rate will be reduced by 10% in FY 2004.
- By giving citizens on-line access to the Physician censure database, complaints to the board about doctors will be reduced by 3% at FY 2004 year-end.
- By integrating the State procurement system with the accounting system, only 5% of monthly payments will be late.

Performance Measures

Performance measures are used to assess results in meeting objectives. They should reflect ITs contribution to business results. There are five categories of performance measures in Arizona's planning model. Each category answers a different question and often the measurements must be used in combinations to assess an agency's performance in reaching its objectives. The five categories are described below.

Inputs

Inputs measure resources used to reach an objective. Inputs include labor, materials, equipment, supplies, etc. They can also reflect demand factors, such as number of customers for a particular service.

Examples of input measures include:

- Number of commuters in the metropolitan Phoenix area.
- Amount of programming hours to place the physician database on-line.
- Dollar amount expended to buy the necessary middleware for integrating the procurement and accounting systems.

Outputs

Output measures are useful in identifying the amounts and types of services produced. They measure the quantity of production, but do not reflect the quality.

Examples of output measures include:

- Number of warnings issued on the freeway advisory signs per month.
- Number of times that citizens searched the database per day.
- Number of checks processed per hour.

Outcomes

Outcome measures reflect the impact or benefit of the program. Policy makers are generally most interested in outcomes.

Examples include:

- Reducing the number of traffic accidents per quarter.
- Percent decrease in consumer complaints about doctors per month.
- Percent increase in agencies receiving early payment discounts per year.

Efficiency

Efficiency measures are often referred to as productivity measures and are often presented as ratios.

Examples of efficiency measures include:

- Number of commuters involved in a traffic accident to those not involved in any accident per year.
- Cost to the State, per transaction, for the on-line physician database.
- Number of warrants produced per day.

Quality

Quality measures reflect the effectiveness in meeting customer and stakeholder expectations. It is often expressed in terms of reliability, accuracy, courtesy, responsiveness, and completeness.

Examples of quality measures include:

- Number of warnings without errors that were broadcast on the freeway advisory signs each fiscal year.
- Percent of good and excellent ratings on a customer satisfaction survey for the on-line physician database.
- Number of complaints associated with the procurement or accounting systems being down.

NOTES: One performance measure is required for each objective. It is recommended that one of the performance measures be an “outcome” measure.

Each performance measure is required to have numeric measure in the “FY0X” target fields. Always indicate the unit of measure within the text of the performance measure.

Example:

Performance Measure	FY04	FY05	FY06
Reducing average number of customer calls per quarter	1000	900	800

See the *Examples of Performance Measurements* document located at www.gita.state.az.us/apps for suggested performance measures based on common strategic IT goals and objects.

Quality Assurance

Each agency is asked to report process models (best practices, frameworks or tools) currently in use or contemplated for deployment during FY05 to improve organizational and/or project performance. There are nine categories of process models in Arizona’s planning model.

Examples of quality assurance models:

- ◆ American Society for Quality (ASQ)
- ◆ Capability Maturity Model for Software (CMM)
- ◆ Capability Maturity Model Integrated (CMMI)
- ◆ Control Objectives for Information and related Technology (COBIT)
- ◆ Project Management Institute (PMI)
- ◆ Information Technology Infrastructure Library (ITIL)
- ◆ International Standards Organization (ISO 9000)
- ◆ Malcolm Baldrige National Quality Award (MBNQA)
- ◆ Six Sigma

See the [Quality Assurance Program](http://www.gita.state.az.us) document located at www.gita.state.az.us for links to some of the process model options available, where they apply and how to use them.

Note: Each agency may have more than one quality assurance program in their IT organization to report. Some examples are below:

- ◆ An agency may have hired contractors to develop software and they are using one quality program while the agency is using another.
- ◆ An agency may have a project manager certified using one quality assurance program while other areas of the organization are using another quality program.

Security Assessment

An IT Security Assessment is required of all agencies as part of the annual IT plan submission. The Technical Security Assessment (TeSA) online application with accompanying guidelines is located at www.gita.state.az.us/apps.

Plan Evaluation

The criterion below is what GITA will use for the acceptance of the IT plan. If an agency's plan is found, by GITA, not to fully articulate their IT direction, then there will be communication between GITA and the agency to work on better communicating that direction. GITA's responsibility is to ensure that each agency has shown that their plan supports their agency's business goals and statewide IT strategies, and also to track an agency's performance. Below are the planning elements with criteria used to analyze them.

Mission

Does it answer the following?

- Who you are
- What you do
- For whom you do it
- Why it's important

Does it support your IT vision and the agency's business direction?

Vision

The vision statement should be:

- A clear picture of the future
- Supportive of the agency's business vision

Goals

Does the goal support at least one of the following:

- an Agency Business Goal?
- a Statewide IT initiative?

Does it support the agency IT vision and mission?

Does it deal with just one issue?

Is it clear about what you want to accomplish?

Is it stated in business terms? (i.e., talks about how IT will help the agency business and not about IT implementation)

Objectives

Is there at least one objective for each IT goal?

Does the objective support the IT goal?

Does it represent an intermediate achievement?

Does it specify a result rather than an activity?
Is it quantifiable?
Does it provide a specific time frame?

Performance Measures

Does the performance measure relate to the objective it represents?
Is the performance measure quantifiable?
Is there a specific time frame, when applicable, for taking the measurement?
Taken together will the performance measures accurately reflect key results?
Did you set targets for your performance measures?

Additional Factors

Does your plan reflect the depth and breadth of your agency?
Does your plan address the large IT initiatives in your agency?
Does your plan address the large statewide IT initiatives in which your agency is participating?
Does your plan address those areas in which GITA requested that you cover?